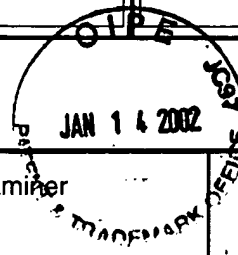


TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
UC97-156-8

In Re Application Of: SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.



Serial No.
09-849,096

Filing Date
MAY 4, 2001

Examiner

Group Art Unit

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

#6/IDS
1/25/02
C. McKenney

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

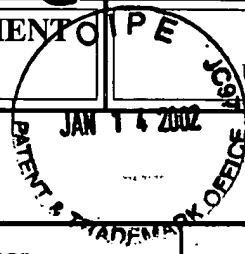
OR

☐ the fee set forth in 37 CFR 1.17(p).

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Group Art Unit

MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

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Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited 10/3/01 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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JOHN P. O'BANION

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[Signature]
Signature

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

Dated: 10/3/01

CC:

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
UC97-156-8

In Re Application Of: **O. SOLGAARD; J. HERITAGE; A. BHATTARI**

OFFICE
JAN 14 2002
PATENT & TRADEMARK

Serial No.
09/849,096

Filing Date
MAY 4, 2001

Examiner

Group Art Unit

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

Dated: 10/31/01

**JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010**

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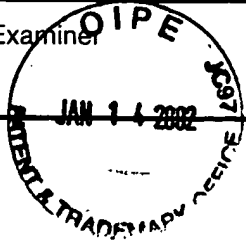
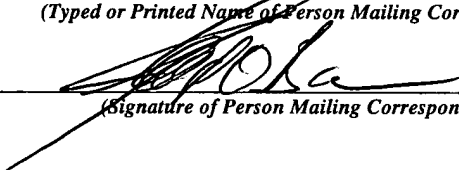
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John P. O'Banion

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)			Docket No. UC97-156-8	
Applicant(s): SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.				
Serial No. 09/849,096	Filing Date MAY 4, 2001	Examiner 	Group Art Unit	
Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH				
<p>I hereby certify that this <u>Information Disclosure Citation (1 page)</u> <small>(Identify type of correspondence)</small></p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>10/3/01</u> <small>(Date)</small></p> <p><u>John P. O'Banion</u> <small>(Typed or Printed Name of Person Mailing Correspondence)</small></p> <p><u></u> <small>(Signature of Person Mailing Correspondence)</small></p> <p>Note: Each paper must have its own certificate of mailing.</p>				

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Applicant(s): SOLGAARD, O.; HERITAGE, J.; BHATTARI, A.

Docket No.

UC97-156-8

Serial No.

09/849,096

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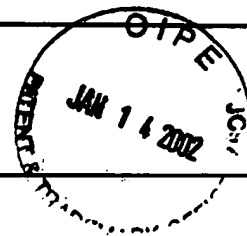
MAY 4, 2001

Examiner

Group Art Unit

Invention:

MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

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